

Appendix 1

ARCHIVE SERVICE:

SUMMARY OF IDENTIFIED RISKS AND RISK MANAGEMENT CONTROLS

1. Risk Description	Failure of environmental controls / prescribed conditions in Archive Service strong rooms which would result in physical deterioration of collections
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Key Controls and Processes

Control	Process	Records
Continuous monitoring of environmental controls	Daily checking process by conservation team against BS5454 parameters	Condition Records
Quarterly checks of air conditioning equipment	Arranged by through central contracting process- Property Services	Equipment Manuals and Service Reports
Reporting procedure	Through designated staff	Building Report Records
General Risk Assessments for Staffordshire and Lichfield Record Offices	Updated annually by Record Office Manager	Risk records

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Reduction in corporate resource allocation to maintain adequate servicing	Ensure contingency within Archive Service Budget
2	Major failure of equipment	Ensure sufficient contingency in Archive Service budget reserve

2. Risk Description	Fire in Record Offices
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Key Controls and Processes

Control	Process	Records
Fire detection systems: incl high sensitivity detection in all strongrooms, linked to central monitoring station	Weekly fire testing	Test Records
Fire suppression system in SRO extension strongrooms	Weekly fire testing	Test records
Quarterly checks of fire detection / suppression systems	Arranged by through central contracting process - Property Services	Equipment Manuals and Service Reports
Faults reporting and follow up procedures	Through designated staff	Building Report Records
General Risk Assessments for all Record Offices	Updated annually	Risk assessment records

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Reduction in corporate resource allocation to maintain adequate servicing	Ensure contingency within Archive Service Budget
2	Major failure of equipment	Ensure sufficient contingency in budget reserve
3	Accidental discharge of Inergen Gas	Ensure sufficient contingency in budget reserve to replace
4	Failure of all communication systems between Record Offices and central monitoring stations resulting in serious loss	Maintain weekly testing Emergency Plan Insurances for conservation treatment as a result of emergency

3. Risk Description	Vandalism at Record Offices
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Key Controls and Processes

Control	Process	Records
Security systems: incl intruder alarm systems linked to central monitoring station, external and internal CCTV systems where appropriate	Ensure intruder alarms are set out of hours	Central monitoring station logs
Physical inspection of buildings	Weekly visual inspection of exterior of building	Building maintenance logs
Six-monthly checks of intruder alarm systems	Arranged by through central contracting process - Property Services	Equipment Manuals and Service Reports
Faults reporting and follow up procedures	Through designated staff	Building Report Records
General Risk Assessments for all Record Offices	Updated annually	Risk assessment records
Insurance for conservation following emergency	Updated annually	Specialist insurance policies

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Reduction in corporate resource allocation to maintain adequate servicing	Ensure contingency within Archive Service Budget
2	Major failure of equipment	Ensure sufficient contingency in Archive Service budget reserve
3	Failure of all communication systems between Record Offices and central monitoring stations resulting in serious loss	Emergency Plan Insurances for conservation treatment as a result of emergency caused by vandalism

4. Risk Description	Theft of / damage to archives while in public use
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Key Controls and Processes

Control	Process	Records
Continuous supervision of reading room by staff	Duty rotas	File copies
CCTV in all reading rooms	Constant monitoring	CCTV tapes
Controlled issue and return of documents	Weighing and checking of documents on issue and return	Production slips retained for 10 years
Registration of readers	Production of proof of ID and address at registration	Registration cards retained for 15 years
Code of Conduct for Readers	Issued at registration of new readers and published on web site	Registration cards
Terms of deposit insurance clause	Owners made aware of insurance position at deposit	Deposit file

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Staff shortages resulting in failure to ensure adequate supervision	Ensure budgetary provision for minimum reading room staffing levels for security

5. Risk Description	Theft of / damage to / loss of archives while in transit between offices
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Key Controls and Processes

Control	Process	Records
Correct manual handling	Instruction of all staff in correct manual handling; use of available equipment (e.g. trolleys)	Training Record
Vehicle security	Instruction to staff to keep transporting vehicle locked or supervised at all times	Staff Information Sheets
Provision of mobile phones for staff use	Instruction to staff to carry mobile phone when working offsite	Staff Information Sheets
Insurance for documents while in transit by staff / others	Updated annually	Specialist Insurance Policies

6. Risk Description	Potential Sale of Collections by Owners
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Key Controls and Processes

Control	Process	Records
Full documentation of ownership of collections	Accessioning process	Deposit files and accession register
Terms of deposit of collections including compensation clause	Accessioning / deposit process	Signed Terms on file
Archive Service fundraising strategy and guidelines	Use of external funding from appropriate sources to secure collections	Guidelines document
Provision within budget for acquisition	Annual estimate with facility for balance to transfer to reserve	Financial monitoring records

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Deposit system	Ensure donation of collections wherever possible
2	High market values / economic climate	Maintain acquisitions reserve
3	Lack of current information about ownership of older deposits	Ongoing follow up work on and recording of status of collections

7. Risk Description	Damage to archives caused by erroneous conservation treatment
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Key Controls and Processes

Control	Process	Records
Appropriate level of professional knowledge and qualifications of conservators	Formal training of conservators in conservation techniques Continuous professional development (CPD) of conservators Accreditation of Senior Conservator by Institute of Conservation (incl periodic review of CPD paperwork)	Entry qualifications Training record Personal file
Professional supervision of Conservator by Senior Conservator	Senior Conservator required to agree to proposed treatment prior to commencement of work	Conservation Record Sheets
BS 4971 (2002)- Repair and Allied Processes for the Conservation of Documents	All conservation work carried out in accordance with Standard	Conservation Record Sheets

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Idiosyncratic /unanticipated reaction of specific document to any given course of treatment	Exhaustive testing and monitoring of results

8. Risk Description	Risk to staff and members of the public whilst in attendance at Archive Service events at external venues
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Key Controls and Processes

Control	Process	Records
Provision of mobile phones for staff use	Instruction to staff to carry mobile phone when working offsite	Risk Assessment
Assessment of all risks associated with tasks and activities undertaken	Risk assessment of all tasks and activities	Risk Assessment
Liaison with building manager	Site meeting with building manager in advance of event	Risk Assessment
Assessment of risks associated with the venue to be used for the event	Risk assessment of hazards specific to building	Risk Assessment

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Failure of building manager to provide adequate advance information regarding risks	Ensure availability of site manager or substitute during event

9. Risk Description	Lone Working of Staff Offsite
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Key Controls and Processes

Control	Process	Records
Staff Instructions for Lone Working	Issued at induction training and reiterated through staff health and safety training	Training records Staff Information Sheets
Provision of mobile phones for staff use	Instruction to staff to carry mobile phone when working offsite	Staff Information Sheets

10. Risk Description	Risk of harm to children on work placements with the Archive Service
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Key Controls and Processes

Control	Process	Records
Enhanced CRB checks on all staff in contact with children	Three-yearly checks for existing staff and check on all new appointments	Personnel files
Induction training	Students are informed of the procedures for emergency evacuation, first aid provision, manual handling, health and safety, guidelines for safe use of equipment	Copy of Placement Record supplied to the school
Assessment of risks associated with tasks allocated	Risk assessment of all tasks allocated	Risk Assessment
Supervision of placement	Students are supervised at a level in accordance with their perceived abilities and the nature of the task being undertaken	Timetable of placement activities
Staff awareness of child protection issues	Specialist training of nominated staff in child protection issues.	Training Record

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Potential immaturity / vulnerability of children accepted for work placement	On-going assessment of capabilities and social awareness of student and tailoring of tasks and level of supervision if considered necessary

11. Risk Description	Impact of flu pandemic on service delivery
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Key Controls and Processes

Control	Process	Records
Dissemination of information re precautions to minimise risks	Staff meeting briefings Information supplied to staff in hard copy and on intranet	Staff Meeting minutes
Minimum level and correct combination of staffing for safe service delivery and security of collections	Application of pairing systems for staffing Normal security procedures	Staff Information Sheets

Reductions in public opening hours, public bookings and other aspects of service delivery	Ongoing situation assessment	Amendments to web site Staff information Sheets
Temporary closure with manning of telephones and computers to deal with distance enquiries	Ongoing situation assessment	Amendments to web site Staff information Sheets Training records

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Regular contact of frontline staff with members of the public	Provision of gloves for staff Maintain fresh air flow in public rooms